



Form PTO-1449	ATTY. DOCKET NO. 0020-5147P	APPLICATION NO. 10/609,402
<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (Use several sheets if necessary)	APPLICANT Yoshinori SHIMIZU et al.	
	FILING DATE July 1, 2003	GROUP 2879

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>JW</i>	US 6,004,001	A	1999-12-21	Noll			
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## FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO

## OTHER DOCUMENTS

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.)

<i>JW</i>	P. Schlouer et al. "Luminescence Conversion of Blue Light Emitting Diodes", Applied Physics Letter, vol. 46, p. 417-418, February 1997.
<i>JW</i>	M.F. YAN et al., "Preparation of Y3Al5O12-Based Phosphor Powders, J. Electrochem. Soc., Vol. 134, No. 2, Feb. 1987.
<i>JW</i>	"Proceedings of the Institute of Phosphor Society", Translation of pages 1, 5 to 14 of the 264th Proceedings of the Institute of Phosphor Society, Nov. 29, 1996.
<i>JW</i>	Shigeo SHIONOYA et al. (editors), "Phosphor Handbook", pp. 505-508, CRC Press, 1999. no month
<i>JW</i>	E.F. GIBBONS et al., "Some Factors Influencing the Luminous Decay Characteristics of Y3Al5O12:Ce3+", J. Electrochem. Soc., Vol. 120, No. 6, June 1973.
<i>JW</i>	D.J. ROBBINS et al., "Lattice Defects and Energy Transfer Phenomena in Y3Al5O12:Ce3+", pp. 1004-1013, printed June 19, 2001.

EXAMINER <i>Joseph W. Williams</i>	DATE CONSIDERED 3/5/05
EXAMINER: Initial if citation considered, whether or not citation is in conformance with R.P.C.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

10/609,402

Sheet 1 of 8 (6/26/03)

Form PTO-1449	ATTY DOCKET NO. 0020-5147P	APPLICATION NO. New-Rule 53(b) Div. of 09/458,024
<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)	APPLICANT Yoshinori SHIMIZU et al.	
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<i>an</i>	US 3,652,956		1972-03-28	Pinnow et al.			
<i>an</i>	US 4,314,910		1982-02-09	Barnes			
<i>an</i>	US 5,006,908		1991-04-09	Matsuoka et al.			
<i>an</i>	US 5,369,289		1994-11-29	Tamaki et al.			

## FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
<i>an</i>	JP	59-30107	U	1984-02-24	JAPAN				X
<i>an</i>	JP	7-32638	U	1995-06-16	JAPAN			X	
<i>an</i>	JP	01-257993	A	1989-10-16	JAPAN			ABS	
<i>an</i>	JP	01-260707	A	1989-10-18	JAPAN			ABS	
<i>an</i>	JP	02-111922	A	1990-04-24	JAPAN			ABS	
<i>an</i>	JP	05-142424	A	1993-06-11	JAPAN			X	
<i>an</i>	JP	06-160635	A	1994-06-07	JAPAN			X	
<i>an</i>	JP	06-027327	A	1994-02-04	JAPAN			X	
<i>an</i>	JP	06-82633	A	1994-03-25	JAPAN			X	

OTHER DOCUMENTS (Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.)	
<i>an</i>	"White LED lamp: Efficient light-emitting; Manufacture cost half", Nikkei Sangyo Shimbun, September 13, 1996, Published by Nihon Keizai Shimbunsha.
<i>an</i>	Shuji NAKAMURA, "InGaN/AlGaIn blue-light-emitting diodes", J. Vac. Sci. Technol. A 13(3), May/Jun 1995, pp.705-710.
<i>an</i>	Shuji NAKAMURA et al., "Si-Doped InGaIn Films Grown on GaN Films", Jpn. J. Appl. Phys. Vol. 32 (1993), pp. L16-L19, Part 2, No. 1A/B, 15 January 1993.
<i>an</i>	Shuji NAKAMURA et al., "P-GaN/N-InGaIn/N-GaN Double-Heterostructure Blue-Light-Emitting Diodes", Jpn. J. Appl. Phys. Vol. 32 (1993), pp. L8-L11, Part 2, No. 1A/B, 15, January 1993.
<i>an</i>	Shuji NAKAMURA, "Zn-doped InGaIn growth and InGaIn/AlGaIn double-heterostructure blue-light-emitting diodes", Journal of Crystal Growth, 145 (1994), pp. 911-917. <i>no month</i>
<i>an</i>	Shuji NAKAMURA, "High-Power InGaIn/AlGaIn Double-Heterostructure Blue-Light-Emitting Diodes", IEDM 94 (1994), IEEE, pp. 567-570. <i>no month</i>
<i>an</i>	Kozo OSAMURA et al., "Preparation and optical properties of Ga <sub>1-x</sub> In <sub>x</sub> N thin films", Journal of Applied Physics, Vol. 46, No. 8, August 1975, pp. 3432-3437.

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ADM/EHC/mua

10/609402

Sheet 2 of 8 (6/26/03)

Form PTO-1449

ATTY DOCKET NO.  
0020-5147PAPPLICATION NO.  
New-Rule 53(b)  
Div. of  
09/458,024INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

APPLICANT  
Yoshinori SHIMIZU et al.FILING DATE  
July 1, 2003GROUP  
2879

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	US						
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## FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
<i>AN</i>	JP	07-114904	A	1995-05-02	JAPAN			X	
<i>AN</i>	JP	07-235207	A	1995-09-05	JAPAN			X	
<i>AN</i>	JP	53-7153		1978-01-21	JAPAN				X
<i>AN</i>	JP	7-42152	U	1995-07-21	JAPAN			X	
<i>AN</i>	JP	55-4898	A	1980-01-14	JAPAN				X
<i>AN</i>	JP	55-005533	A	1980-01-16	JAPAN			ABS	
<i>AN</i>	JP	60-185457	A	1985-09-20	JAPAN			ABS	
<i>AN</i>	JP	62-20237	A	1987-01-28	JAPAN				X
<i>AN</i>	JP	62-232827	A	1987-10-13	JAPAN				X

## OTHER DOCUMENTS

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

<i>AN</i>	Takashi MATSUOKA et al., "Growth and Properties of a Wide-Gap Semiconductor InGaN", Optoelectronics-Devices and Technologies, Vol. 5, No. 1, pp.53-64, June 1990.
<i>AN</i>	T. NAGATOMO et al., "Ga <sub>1-x</sub> In <sub>x</sub> N Blue Light-Emitting Diodes", Proc. Electrochem. Soc., 1993, Vol. 93-10, pp. 136-141. <i>no month</i>
<i>AN</i>	G. BLASSE et al., "Investigation of Some Ce <sup>3+</sup> -Activated Phosphors", Journal of Chemical Physics, Vol. 47, No. 12, 15 December 1967.
<i>AN</i>	W.W. HOLLOWAY, Jr. et al., "On The Fluorescence of Cerium - Activated Garnet Crystals", Physics Letters, Vol. 25A, No. 8, 23 October 1967, pp. 614-615.
<i>AN</i>	E.F. GIBBONS et al., "Some Factors Influencing the Luminous Decay Characteristics of Y <sub>3</sub> Al <sub>5</sub> O <sub>12</sub> :Ce <sup>3+</sup> ", J. Electrochem. Soc., Vol. 120, No. 6. <i>1973 no month</i>
<i>AN</i>	W.J. MINISCALCO et al., "Measurements of Excited-State Absorption in Ce <sup>3+</sup> :YAG <sup>a</sup> ", J. Appl. Phys. Vol. 49, No. 12, December 1978, pp. 6109-6111.
<i>AN</i>	D.J. ROBBINS et al., "Lattice Defects and Energy Transfer Phenomena in Y <sub>3</sub> Al <sub>5</sub> O <sub>12</sub> :Ce <sup>3+</sup> ", pp. 1004-1013. <i>2001 no month</i>

EXAMINER <i>Joseph C. Allen</i>	DATE CONSIDERED <i>3/5/05</i>
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10/609402

Sheet 3 of 8 (6/26/03)

Form PTO-1449

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

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Yoshinori SHIMIZU et al.

FILING DATE  
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## FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
<i>gn</i>	JP	01-189695	A	1989-07-28	JAPAN			ABS	
<i>gn</i>	JP	07-120754	A	1995-05-12	JAPAN			X	
<i>gn</i>	JP	06-177423	A	1994-06-24	JAPAN			X	
<i>gn</i>	JP	7-99345	A	1995-04-11	JAPAN			X	
<i>gn</i>	JP	09-027642	A	1997-01-28	JAPAN			X	
<i>gn</i>	JP	05-63068	U	1993-08-20	JAPAN			X	
<i>gn</i>	EP	0 209 942	A1	1987-01-28	EPO				
<i>gn</i>	EP	0 541 373	A2	1992-11-05	EPO				
<i>gn</i>	EP	0 599 224	A1	1994-06-01	EPO				

## OTHER DOCUMENTS

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.)

<i>gn</i>	M.F. YAN et al., "Preparation of $Y_3Al_5O_{12}$ -Based Phosphor Powders, J. Electrochem. Soc., Vol. 134, No. 2. 1985 no month
<i>gn</i>	"Nichia Chemical starts the sample shipment of white light emitting diode", News Report, translation of page 15 of Nikkei Electronics 1996.9.23 (No. 671).
<i>gn</i>	"Proceedings of the Institute of Phosphor Society", Translation of pages 1, 5 to 14 of the 264 <sup>th</sup> Proceedings of the Institute of Phosphor Society. 11/29/1996
<i>gn</i>	Shigeo SHIONOYA et al. (editors), "Phosphor Handbook", pp. 505-508, CRC Press. 1999 no month

EXAMINER

*Joseph C. Lin*

DATE CONSIDERED

3/5/05

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Sheet 4 of 8 (6/26/03)

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	APPLICANT Yoshinori SHIMIZU et al.	
	FILING DATE July 1, 2003	GROUP 2879

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
AW AW AW AW AW AW AW AW	US 4,727,283		1988-02-23	van Kemenade et al			
	US 4,298,820		1981-11-03	Bongers et al.			
	US 3,699,478		1972-10-17	Pinnow et al.			
	US 5,798,537		1998-08-25	Nitta			
	US 5,202,777		1993-04-13	Sluzky et al.			
	US 3,819,974		1974-06-25	Stevenson et al.			
	US 5,847,507		1998-12-08	Butterworth et al.			
	US 3,691,482		1972-09-12	Pinnow et al.			
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## FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
								YES	NO
AW	JP	01179471	A	1989-07-17	JAPAN			ABS	
AW	JP	5043913	C1	1975-04-21	JAPAN				
AW	JP	554898	A	1980-01-14	JAPAN				
AW	JP	09027642	A	1997-01-28	JAPAN			ABS	
AW	JP	08007614	A	1996-01-12	JAPAN			ABS	
AW	JP	07176794	A	1995-07-14	JAPAN			ABS	
AW	JP	07099345	A	1995-04-11	JAPAN			ABS	
AW	JP	05152609	A	1993-06-18	JAPAN			ABS	
AW	JP	6220237	A	1987-01-28	JAPAN				

## OTHER DOCUMENTS

(Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume:issue number(s), publisher, city and/or country where published.)

AW	Glasse et al., Applied Physics Letters, Vol. 11, No. 2, pp. 53-54 (1967) no month
AW	Hoffman, Journal of Ies, pp. 89-91 (1977) no month
AW	Nakamura, SPIE, Vol. 3002, pp. 26-35 (1997) no month
AW	"SIMENS SMT-TOPLED fur die Oberflächenmontage" Frank Mollmer et al. Simens Components, 29 (1991) Hfet 4. no month

EXAMINER <i>AW</i>	DATE CONSIDERED 3/5/05
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10/609402

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>DN</i>	US 4,550,256		1985-10-29	Berkstesser et al.			
<i>DN</i>	US 4,716,337		1987-12-29	Huiskes et al.			
<i>DN</i>	US 5,471,113		1995-11-28	De Backer et al.			
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								YES	NO
<i>DN</i>	WO	9750132	A1	1997-12-31	PCT				
	WO	9812757	A1	1998-03-26	PCT				
	JP	5079379		1973-11-24	JAPAN			ABS	
	JP	742152		1995-07-21	JAPAN			ABS	
	JP	4717684		1972-09-09	JAPAN			X	
	JP	491221		1974-01-12	JAPAN			X	
	JP	49112577		1974-10-26	JAPAN			ABS	
	JP	62189770		1986-02-15	JAPAN			ABS	
<i>DN</i>	JP	291980		1988-09-29	JAPAN			ABS	

## OTHER DOCUMENTS

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<i>DN</i>	"GaPnp Contact Blue/Ultraviolet light Emitting Diode", H. Amano et al., Applied Physics, Vol. 20, No. 2, pp. 163-166 (1991) <i>no month</i>
<i>DN</i>	"Phosphors Based on Rare-Earths, A New Era in Fluorescent Lighting", B.M.J. Smets, Materials Chemistry and Physics, 16 pp. 283-299 (1987) <i>no month</i>
<i>DN</i>	"A New Phosphor for Flying-Spot Cathode-Ray Tubes for Color Television: Yellow Emitting..", G. Blasse et al., App. Phys. Lett. Vol. 11, No. 2, pp. 53-55 (1967) <i>no month</i>
<i>DN</i>	Tadao MIURA, ELECTRONICS ENGINEERING, "High-intensity White Backlighting for LCD of Car Audios", July 1996, Vol. 38, No. 7, pp. 55-58

EXAMINER <i>Joseph W. Elton</i>	DATE CONSIDERED 3/5/05
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Form PTO-1449

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								YES	NO
2w	JP	5152609	A	1993-06-18	JAPAN			ABS	
	JP	5183189	A	1993-07-23	JAPAN			ABS	
	JP	863119		1996-03-08	JAPAN			ABS	
	JP	10036835	A	1998-02-10	JAPAN			ABS	
	JP	49106283		1972-12-27	JAPAN			ABS	
	JP	5245181		1977-10-14	JAPAN			ABS	
	GB	1589964		1981-05-20	GREAT BRITAIN				
	JP	5441660		1979-12-05	JAPAN			X	
2w	JP	5472484		1978-11-07	JAPAN			ABS	

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2w	J.M. Robertson, et al., "Colourshift of the Ce <sup>3+</sup> Emission in Monocrystalline Epitaxially Grown Garnet Layers", 1981 Philips J. Res. 36, pp. 15-30	no month
2w	W.W. Holloway, Jr. et al., "Optical Properties of Cerium-Activated Garnet Crystals", 1969 Journal of the Optical Society of America, Vol. 59, No. 1, pp. 60-63	no month
2w	WUSTLICH MIKRO-/OPTO-ELEKTRONIK GMBH (1994/1995)	no month
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<i>DN</i>	JP	5950455		1984-04-01	JAPAN			ABS	
	JP	324692		1991-03-14	JAPAN			ABS	
	JP	463162		1992-05-29	JAPAN			ABS	
	JP	463163		1992-05-29	JAPAN			X	
	JP	563068		1993-08-20	JAPAN			ABS	
	JP	8170077		1996-07-02	JAPAN			ABS	
	JP	5331584		1978-03-24	JAPAN				
	JP	60144381		1985-07-30	JAPAN			ABS	
<i>DN</i>	JP	62167387		1987-07-23	JAPAN			ABS	

**OTHER DOCUMENTS**

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EXAMINER

*Joseph W. Eli*

DATE CONSIDERED

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an	JP	60144381		1985-07-30	JAPAN			ABS	
	JP	62167387		1987-07-23	JAPAN			ABS	
	JP	6208845		1994-07-26	JAPAN			ABS	
	JP	06177423		1994-06-24	JAPAN			ABS	
	JP	06260680		1994-09-16	JAPAN			ABS	
an	JP	06268257		1994-09-22	JAPAN			ABS	

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EXAMINER <i>Joseph M. Kelly</i>	DATE CONSIDERED 3/5/05
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